PATENT

Practitioner's Docket No. ...

01471

Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand comer of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.' " M.P.E.P. § 601, 7th ed.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s):

Matey, Jesus

WARNING: 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors."

For (title):

BROADCAST DATA RECEIVER WITH DUAL TUNING CAPABILITY

CERTIFICATION UNDER 37 C.F.R. § 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date 21 June 2001 in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EL779650888US dressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

<u>Barbara Ladd</u>

(type or print name of person mailing paper)

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

1. Type of Application

This new application is for a(n)

(check one applicable item below)

Σ	₫ :	Original (nonprovisional)
]	Design
	ļ	□ Plant
WARNII	NG:	Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.
WARNI	NG:	Do not use this transmittal for the filing of a provisional application.
NOTE:	TR	ne of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION ANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.
]	Divisional.
]	Continuation.
]	Continuation-in-part (C-I-P).
_	- 00	

2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or
 - (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(l) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120, 121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

(New Application Transmittal [4-1]-page 2 of 11)

WARNING:	When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).
1	The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
3. Papers	Enclosed
•	uired for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 gn) Application
9 Pag	ges of specification
_3 Pag	ges of claims
_	eets of drawing
	DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).
inve the on	entifying indicia, if provided, should include the application number or the title of the invention, entor's name, docket number (if any), and the name and telephone number of a person to call if Office is unable to match the drawings to the proper application. This information should be placed the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top the page" 37 C.F.R. § 1.84(c)).
	(complete the following, if applicable)
•	The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." C7 C.F.R. § 1.84(b).
ZK 1	formal
	informal
B. Othe	r Papers Enclosed
2 Pa	ges of declaration and power of attorney
	ges of abstract
Oth	
4. Additio	nal papers enclosed
[X]x	Amendment to claims
	☐ Cancel in this applications claims before
•	calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
ļ	Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)
ХΣ	Preliminary Amendment
	Information Disclosure Statement (37 C.F.R. § 1.98)
	Form PTO-1449 (PTO/SB/08A and 08B)
	Citations
	(New Application Transmittal [4-1]—page 3 of 11)

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(Rel.80--7/99 Pub.605)

] De	eclaration of Biological Deposit
	pe	abmission of "Sequence Listing," computer readable copy and/or amendment retaining thereto for biotechnology invention containing nucleotide and/or nino acid sequence.
С] Au tiv	thorization of Attomey(s) to Accept and Follow Instructions from Representa-
] Sp	pecial Comments
] 01	her
5. Dec	larat	ion or oath (including power of attorney)
NOTE:	the parties of the sign of the	why executed declaration is not required in a continuation or divisional application provided that rior nonprovisional application contained a declaration as required, the application being filed is or fewer than all the inventors named in the prior application, there is no new matter in the ration being filed, and a copy of the executed declaration filed in the prior application (showing gnature or an indication thereon that it was signed) is submitted. The copy must be accompanied statement requesting deletion of the names of person(s) who are not inventors of the application filed. If the declaration in the prior application was filed under § 1.47, then a copy of that ration must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning in under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently ted declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)–(3).
NOTE:	is dire abbre count	claration filed to complete an application must be executed, identify the specification to which it incted, identify each inventor by full name including family name and at least one given name, without viation together with any other given name or initial, and the residence, post office address and may or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 . § 1.63(a)(1)–(4).
NOTE:	as pre as pre is that this p or na	inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration escribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration escribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship tinventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under aragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name mes of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
⊠ €	}t Er	nclosed
	E	secuted by
		(check all applicable boxes)
	XX	inventor(s).
		legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.
		joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
		☐ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.
	No	ot Enclosed.
NOTE:	the U may l	e the filing is a completion in the U.S. of an International Application or where the completion of S. application contains subject matter in addition to the International Application, the application be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
		Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
		(New Application Transmittal [4-1]—page 4 of 11)

(The declaration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
☐ Showing that the filing is authorized. (not required unless called into question. 37 C.F.R. § 1.41(d))
6. Inventorship Statement
WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inventorship for all the claims in this application are:
The same.
or
□ Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
☐ is submitted.
☐ will be submitted.
7. Language
NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).
XIX English
☐ Non-English
☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
8. Assignment
An assignment of the invention toPace Micro Technology Plc
is attached. A separate ★★ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.
☐ will follow.
NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).
WARNING: A newly executed "CERTIFICATE UNDER 37 C.F.R. § 3.73(b)" must be filed:when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.
(New Application Transmittal [4-1]—page 5 of 11)

GB	0015661.2		28 June	2000	
Country		n. No.	zo June	File	ed
Country	Appl	n. No.		File	ed
Country	Apple	n. No.		File	ed e
from which priority is clain	ned			·	
☐ is (are) attached	I.				
[×] ⊠ will follow.					
NOTE: The foreign application declaration. 37 C.F.R.	forming the basis for t § 1.55(a) and 1.63.	the claim fo	or priority must	be referred to in the o	oath o
0.S. application or Inte § 120 is itself entitled t	eign priority for which t mational Application fro o priority from a prior fo PLICATION TRANSMITT	m which th reian annlid	is application ca ation, then con	laims benefit under 35 nolete item 18 on the l	U.S.C
10. Fee Calculation (37 A. Regular applicat	- •				
	CLAIMS A	S FILED		***	
Number filed	Number E	xtra	Rate	Basic Fee 37 C.F.R. § 1.10 \$760.00	6(a)
Total Claims (37 C.F.R. § 1.16(c))	00			4,00.00	
Independent	<u> </u>	×	\$ 18.00		
Claims (37 C.F.R.					
§ 1.16(b))	- 3 =	×	\$ 78.00		
Multiple dependent claim(s) if any (37 C.F.R. § 1.16(d))	+	\$260.00		
☐ Amendment can	celling extra claims	is enclo	sed		
	ting multiple-deper				
	ims is not being pa			•	
NOTE: If the fees for extra claims prior to the expiration o notice of fee deficiency.	s are not paid on filing the f the time period set for	ev must be	paid or the clair	ns cancelled by amend and Trademark Office i	iment, in any
·	Filing Fee Calcul	ation		s 710	
				Ψ	
B. Design application (\$310.00—37 C.F					
B. Design application (\$310.00—37 C.F.		ation		& ^	

(Rel.80—7/99 Pub.605) FORM 4-1 4-8

^	—	Digut application	
C.	Ц	Plant application (\$480.00—37 C.F.R. § 1.16(g))	
		Filing fee calculation	\$
11.	Sma	all Entity Statement(s)	
		Statement(s) that this is a filing by a small e is (are) attached.	entity under 37 C.F.R. § 1.9 and 1.27
WA	RNING	G: "Status as a small entity must be specifically estable the status is available and desired. Status as a small affect any other application or patent, including a indirectly dependent upon the application or patent refiling of an application under § 1.53 as a continual a continued prosecution application under § 1.53(d) a new determination as to continued entitlement to application. A nonprovisional application defining by 365(c) of a prior application, or a reissue application or in the patent if the nonprovisional application or in the patent in the prior application statement in the prior application or in the patent and desired. The payment of the small entity basic statute for purposes of this section." 37 C.F.R. § 1.28(a)(2)	all entity in one application or patent does not applications or patents which are directly or in which the status has been established. The tion, division, or continuation-in-part (including the part of the continuing or reissue application requires small entity status for the continuing or reissue apenefit under 35 U.S.C. § 119(e), 120, 121, or no may rely on a statement filed in the prior aplication or the reissue application includes a nor in the patent or includes a copy of the and status as a small entity is still proper and ory filing fee will be treated as such a reference
WA	RNING	G: "Small entity status must not be established when the can unequivocally make the required self-certificate 1996 (emphasis added).	
		(complete the following, if	applicable)
		Status as a small entity was claimed in p	rior application
		, filed on	
		is being claimed for this application under	-
		35 U.S.C. § ☐ 119(e),	
		□ 120, □ 121,	
		☐ 121, ☐ 365(c),	
		and which status as a small entity is still	proper and desired.
		☐ A copy of the statement in the prior	
		Filing Fee Calculation (50% of A, B or	
		¢	
MO	TE. A	Any excess of the full fee paid will be refunded if small er	with a status in antabilation and a sectional security
140	a	tre filed within 2 months of the date of timely payment extendable under § 1.136. 37 C.F.R. § 1.28(a).	•
12.	Req	uest for International-Type Search (37 C.	F.R. § 1.104(d))
		(complete, if applica	ble)
		Please prepare an international-type search when national examination on the merits to	

	_					
13. Fe	-	nent Being Made at This Time				
] Not	Enclosed				
-		No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. § subsequently.)	1.1	6(e)	can be	paid
2	Encl	losed				
	*	Filing fee		\$ _	710	
	₹Īk	Recording assignment (\$40.00; 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)		\$ _	40	
		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i))		\$ _		
		For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))		\$ _		
		Processing and retention fee (\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l))		\$ _		
	. \square	Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))		\$ _		
NOTE:	failing to 37 C.F.I either th	R. § 1.21(I) establishes a fee for processing and retaining any applic to complete the application pursuant to 37 C.F.R. § 1.53(f) and thing. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the benefine basic filling fee must be paid, or the processing and retention fell year from notification under § 53(f).	s, as fit of a	well as a prior	the chang U.S. applic	ges to cation,
		Total fees enclosed	\$_	7	750	
		of Payment of Fees				
XX		ck in the amount of \$750.00			-	
	\$		in	the	amoun	t o
	A d	uplicate of this transmittal is attached.				
NOTE:	Fees sh § 1.22(ould be itemized in such a manner that it is clear for which purpose b).	the t	fees an	e paid. 37	C.F.R

(New Application Transmittal [4-1]—page 8 of 11)

15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filing, the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 08-1500
 - 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
 - 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- \boxtimes^{\times} 37 C.F.R. § 1.17(a)(1)–(5) (extension fees pursuant to § 1.136(a)).
- □ × 37 C.F.R. § 1.17 (application processing fees)
- NOTE: ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).
 - ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
- NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).
- NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . " From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

(New Application Transmittal [4-1]—page 9 of 11)

16. Instructions as to Overpayment

NOTE: "... Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

Credit Account No. 08-1500

□ Refund

Reg. No. 32,840

Tel. No. (18) 587 2000

Customer No. 24118

SIGNATURE OF PRACTITIONER

Mark G. Kachigian (type or print name of attorney)

228 West 17th Place

P.O. Address

Tulsa, Oklahoma 74119

(New Application Transmittal [4-1]—page 10 of 11)

4-12

K k	Incorporation	by	reference	of	added	pages
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(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED)

ХĮХ	Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. U.K. Application(s) Claimed
	Number of pages added1
	Plus Added Pages for Papers Referred to in Item 4 Above Number of pages added
	Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.
	Number of pages added
	Plus "Assignment Cover Letter Accompanying New Application"
	Number of pages added
State	ment Where No Further Pages Added
•	no further pages form a part of this Transmittal, then end this Transmittal with is page and check the following item)
	This transmittal ends with this page.

	identi		17B, in turn itself claim(s) for	
		GB Country	0015661.2	28 June 2000
		•	Appln. no.	Filed on
ine		fied copy(ies) has	• •	
	1	filed on		/, which was
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		application communia U.S. serial number ustage is not entered. prosecution of a cont documents from the to request transfer, rementer and make a receive priority, document stage may not be relief.	continuing application. This is so becauted by the International Bureau is puriless the national stage is entered. Such Therefore, such certified copies may retinuing application. An alternative would olders and transfer them to the continuing trieve the folders, make suitable record report of such copies in the Continuing Apts. in: folders of international application in the continuing Apts. in: folders of international application on. Notice of April 28, 1987 (1079) cendency of Prior Application.	laced in a folder and is not assigned in folders are disposed of if the national not be available if needed later in the d be to physically remove the priority ng application. The resources required notations, transfer the certified copies, pplication are substantial. Accordingly, as that have not entered the national O.G. 32 to 46).
NOTE	resp	PTO finds it useful if ponse is filed with the rember 5, 1985 (1060 (a copy of the petition filed in the price p papers constituting the filing of the	or application extending the term for continuation application. Notice of
A.			in prior application	
(item must be con	npleted and the papers filed in lod set in the prior application	the prior application, has run.)
	☐ <i>f</i>	A petition, fee and until	response extends the term in	the pending prior application
	[☐ A copy of the	petition filed in prior application	on is attached.
B.			n for Extension of Time in Prio	
			this item, if previous item not a	
	\Box A	conditional petiti	on for extension of time is bei	ing filed in the pending prior
1	a a	pplication.		